

08/07/01

131 U.S. PTO

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 2011CIP1
First Inventor Jörn Gorlach
Title Expressed sequences of arabidopsis thaliana
Express Mail Label No. ET327611358US

APPLICATION ELEMENTS

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 45]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
5. ☐ Oath or Declaration [Total Pages]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☒ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☒ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: copy of extension of time.....
from parent app.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: 09 / 638,258

Prior application information:

Examiner Zhou, S

Group Art Unit: 1631

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

022881
(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

Country

State

Zip Code

Telephone

Fax

Name (Print/Type)

Joseph Majka

Registration No. (Attorney/Agent)

30,570

Signature

Date

August 7, 2001

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FEE TRANSMITTAL

for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number
Filing Date
First Named Inventor
Examiner Name
Group / Art Unit
Attorney Docket No.

August 7, 2000
Jorn Gorlach
A. Marschel
1631
2011CIP1

TOTAL AMOUNT OF PAYMENT (\$1,076.00)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0885

Deposit Account Name Joseph T. Majka

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee Code	Small Fee Code	Fee Description	Fee Paid
101	690	201	Utility filing fee	710.00
106	310	206	Design filing fee	
107	480	207	Plant filing fee	
108	690	208	Reissue filing fee	
114	150	214	Provisional filing fee	

SUBTOTAL (1) (\$ 710.00)

2. EXTRA CLAIM FEES

Total Claims 27
Independent Claims 6
Multiple Dependent Claims 3
Extra Claims 20
Fee from below 126
Fee Paid 240

**or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee Code	Small Fee Code	Fee Description	Fee Paid
103	18	203	Claims in excess of 20	
102	78	202	Independent claims in excess of 3	
104	260	204	Multiple dependent claim, if not paid	
109	78	209	** Reissue independent claims over original patent	
110	18	210	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 366.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee Code	Small Fee Code	Fee Description	Fee Paid
105	130	205	Surcharge - late filing fee or oath	0.00
127	50	227	Surcharge - late provisional filing fee or cover sheet	0.00
139	130	139	Non-English specification	0.00
147	2,520	147	For filing a request for reexamination	0.00
112	920*	112	Requesting publication of SIR prior to Examiner action	0.00
113	1,840*	113	Requesting publication of SIR after Examiner action	0.00
115	110	215	Extension for reply within first month	0.00
116	380	216	Extension for reply within second month	0.00
117	870	217	Extension for reply within third month	0.00
118	1,360	218	Extension for reply within fourth month	0.00
128	1,850	228	Extension for reply within fifth month	0.00
119	300	219	Notice of Appeal	0.00
120	300	220	Filing a brief in support of an appeal	0.00
121	260	221	Request for oral hearing	0.00
138	1,510	138	Petition to institute a public use proceeding	0.00
140	110	240	Petition to revive - unavoidable	0.00
141	1,210	241	Petition to revive - unintentional	0.00
142	1,210	242	Utility issue fee (or reissue)	0.00
143	430	243	Design issue fee	0.00
144	580	244	Plant issue fee	0.00
122	130	122	Petitions to the Commissioner	0.00
123	50	123	Petitions related to provisional applications	0.00
126	240	126	Submission of Information Disclosure Stmt	0.00
581	40	581	Recording each patent assignment per property (times number of properties)	0.00
146	690	246	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149	690	249	For each additional invention to be examined (37 CFR § 1.129(b))	0.00

Other fee (specify)

Other fee (specify)

SUBTOTAL (3) (\$ 0.00)

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type) Joseph T. Majka

Signature

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Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Registration No. (Attorney/Agent) 30,570

Complete (if applicable)

Telephone 919-425-2999

Date August 7, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Gorlach, Jorn

Application No.: TBA

Group No.: TBA

Filed: 08/07/2000

Examiner: TBA

For: Expressed sequences of arabidopsis thaliana

Commissioner for Patents
Washington, D.C. 20231SUBMISSION OF "SEQUENCE LISTING," COMPUTER READABLE COPY,
AND/OR AMENDMENT PERTAINING THERETO
FOR BIOTECHNOLOGY INVENTION CONTAINING NUCLEOTIDE
AND/OR AMINO ACID SEQUENCE

CERTIFICATION UNDER 37 C.F.R. sections 1.8(a) and 1.10*

*(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. section 1.8(a)

- ☐ with sufficient postage as first class mail.

37 C.F.R. section 1.10*

- ☒ as "Express Mail Post Office to Address"
Mailing Label No. ET327611358US(mandatory)

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date:

8/7/01

Signature

Sheryl L. Christie
(type or print name of person certifying)

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"Since the filing of correspondence under [section] 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.